

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Hesketh *et al.*

Appl. No. 09/518,190

Filed: March 2, 2000

For: **Regulation of Protein Secretion**



Art Unit: 1646

Examiner: To be assigned

Atty. Docket: 0623.0820001/EKS/PSC

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**Request for Refund**

Commissioner for Patents  
Washington, D.C. 20231

Sir:

It is requested that \$600.00 be credited to our Deposit Account No. 19-0036. It is asserted that credit for the following is due:

1. \$65 for Late Submission of Declaration;
2. \$345.00 for Basic Filing Fee; and
3. \$190.00 for Two Month Extension of Time fees.

Credit is due because Applicants are eligible for reduced patent fees as a small business concern under 37 C.F.R. § 1.9(d). Large entity fees for the above were filed by Applicants on September 18, 2000 in support of the captioned application. Pursuant to amended 37 C.F.R. § 1.28(a), this request for refund is made within three months from timely filing of the full fee. (See Federal Register/Vol. 65. No. 175, 54616).

A facsimile copy of the Statement Claiming Small Entity Status (37 C.F.R. §§ 1.9(d) and 1.27(c))—Small Business Concern is submitted herewith in support of Applicants claim to small entity status.

Adjustment date: 12/14/2000 NVILLARI  
09/19/2000 HNOOR1 00000011 09518190  
01 FC:101 -690.00 OP  
02 FC:105 -130.00 OP

12/14/2000 NVILLARI 00000021 09518190

01 FC:216 190.00 OP  
02 FC:201 345.00 OP  
03 FC:205 65.00 OP

Adjustment date: 12/14/2000 NVILLARI  
09/19/2000 HNOOR1 00000011 09518190  
03 FC:116 -380.00 OP  
STERNE, KESSLER,  
GOLDSTEIN & FOX P.L.L.C.

Repln. Ref: 12/14/2000 NVILLARI 0011225200  
DAB:190036 Name/Number:09518190  
FC: 704 \$600.00 CR

A duplicate copy of this Request is enclosed.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.



Eric K. Steffe  
Attorney for Applicants  
Registration No. 36,688

Date: 12/4/00  
1100 New York Avenue, N.W.  
Suite 600  
Washington, D.C. 20005-3934  
(202) 371-2600

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SKGF Rev.4/27/00 mac



SKGF Ref. No: 0623.0820001  
K&S Ref. No: P20493US/NJL  
U.S. Appl. No. 09/518,190

**Statement Claiming Small Entity Status**  
(37 C.F.R. §§ 1.9(d) and 1.27(c)) – Small Business Concern

Applicant: Hicketh et al.Appl. No.: 09/518,190Filed: March 2, 2000Attorney Docket No. 0623.0820001/REF/PSCTitle: Regulation of Protein Sequence

I hereby state that I am



the owner of the small business concern identified below;  
an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF SMALL BUSINESS CONCERN Rowett Research Services LimitedADDRESS OF SMALL BUSINESS CONCERN Greenburn Road, Bucksburn, Aberdeen AB21 9SB, United Kingdom

I hereby state that the above identified small business concern qualifies as a small business concern as defined in 13 C.F.R. Part 121 for purposes of paying reduced fees to the United States Patent and Trademark Office. Questions related to size standards for a small business concern may be directed to: Small Business Administration, Size Standards Staff, 409 Third Street, SW, Washington, DC 20416.

I hereby state that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention described in:

- ☐ the specification filed herewith with this as listed above.  
☒ the application identified above.  
☐ the patent identified above.

If the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights in the invention must file separate statements indicating their status as small entities, and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 C.F.R. § 1.9(c) if that person made the invention or by any concern which would not qualify as a small business concern under 37 C.F.R. § 1.9(d) or a nonprofit organization under 37 C.F.R. § 1.9(c).

Each person, concern or organization having any rights in the invention (other than the small business concern named above) is listed below:

- ☒ no such person, concern, or organization exists.  
☐ each person, concern, or organization is listed below.

NAME \_\_\_\_\_

ADDRESS \_\_\_\_\_

☐ INDIVIDUAL☐ SMALL BUSINESS CONCERN☐ NONPROFIT ORGANIZATION

Separate statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 C.F.R. § 1.27)

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 C.F.R. § 1.28(b))

NAME OF PERSON SIGNING D.A.B. BLAIRTITLE OF PERSON IF OTHER THAN OWNER COMPANY SECRETARY, ROWETT RESEARCH SERVICES LTDADDRESS OF PERSON SIGNING GREENBURN ROAD, BUCKSBURN, ABERDEEN AB21 9SBSIGNATURE [Signature]DATE 18 September 2000